SEC Form 4

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FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

Class A Common Stock

02/26/2021

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL

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Descendants Trust 2014 By Mark and Robyn

Jones Descendants Trust 2014

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934

		or Section 30(n) (or the m	vesun	ent Company	ACL OF 1	940			
1. Name and Address of Reporting Person Jones Mark Evan	2. Issuer Name an Goosehead In					5. Relationship of Reporting Person(s) to Issuer (Check all applicable) X Director X 10% Owner X Officer (give title X Other (specify below) CEO / Member of 10% owner group				
(Last) (First) C/O GOOSEHEAD INSURANCE, 1500 SOLANA BLVD., BUILDING	3. Date of Earliest 02/26/2021	Transac	ction (N	Month/Day/Ye						
(Street) WESTLAKE TX	4. If Amendment, D	Date of (Origina	al Filed (Monti	6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person					
(City) (State)	(Zip)									
1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date,	3. Transaction Code (Instr. 8)					5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership
			Code	v	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Class B Common Stock	02/26/2021		С		36,314	D	\$0	12,686,968	I	By Trust ⁽¹⁾
Class A Common Stock	02/26/2021		С		36,314	A	\$0	36,314	I	By Mark and Robyn Jones Descendants Trust 2014
Class A Common Stock	02/26/2021		S		4,383	D	\$128.33 ⁽²	^{.)} 31,931	I	By Mark and Robyn Jones Descendants Trust 2014
Class A Common Stock	02/26/2021		S		11,418	D	\$129.17 ⁽³) 20,513	I	By Mark and Robyn Jones Descendants Trust 2014
Class A Common Stock	02/26/2021		S		5,921	D	\$130.1738	⁽⁴⁾ 14,592	I	By Mark and Robyn Jones Descendants Trust 2014
Class A Common Stock	02/26/2021		s		1,783	D	\$131.29 ^{(t}) 12,809	I	By Mark and Robyn Jones Descendants Trust 2014
Class A Common Stock	02/26/2021		s		323	D	\$132.33 ^{(f}) 12,486	I	By Mark and Robyn Jones Descendants Trust 2014
Class A Common Stock	02/26/2021		s		2,350	D	\$133.82 ⁽⁷) 10,136	I	By Mark and Robyn Jones Descendants Trust 2014
Class A Common Stock	02/26/2021		s		3,121	D	\$134.75 ^{(t}) 7,015	I	By Mark and Robyn Jones

s

3,249

D

\$135.69⁽⁹⁾

3,766

I

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned											
1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Disposed Of	Acquire (D) (Inst	d (A) or r. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership	
			Code	v	Amount	(A) or (D)	Price	Reported Transaction(s) (Instr. 3 and 4)		(Instr. 4)	
Class A Common Stock	02/26/2021		S		2,567	D	\$136.72 ⁽¹⁰⁾	1,199	I	By Mark and Robyn Jones Descendants Trust 2014	
Class A Common Stock	02/26/2021		S		899	D	\$137.44 ⁽¹¹⁾	300	I	By Mark and Robyn Jones Descendants Trust 2014	
Class A Common Stock	02/26/2021		S		300	D	\$138.46 ⁽¹²⁾	0	I	By Mark and Robyn Jones Descendants Trust 2014	
Class A Common Stock ⁽¹³⁾								286,201	D		
Class B Common Stock ⁽¹³⁾								182,349	D		

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transa Code (8)		of Deri Sec Acq (A) (Disp of (I	umber ivative urities uired or oosed O) (Instr. and 5)	6. Date Exerc Expiration Da (Month/Day/Y	ate	of Securities		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4)	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares				
LLC Units in Goosehead Financial, LLC	\$0.0	02/26/2021		С			36,314	(14)	(14)	Class A Common Stock	36,314	\$0	12,686,968	I	By Trust ⁽¹⁾
LLC Units in Goosehead Financial, LLC ⁽¹³⁾	\$0.0							(14)	(14)	Class A Common Stock	182,349		182,349	D	

Explanation of Responses:

1. Reflects shares of Class A Common Stock, shares of Class B Common Stock or LLC Units, as applicable, held in trust for which the reporting person serves as a trustee and of which immediate family members of the reporting person are beneficiaries.

2. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$127.67 to \$128.67, inclusive. The reporting person undertakes to provide to er, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range s forth in this footnote to this Form 4.

3. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$128.69 to 129.69, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote to this Form 4.

4. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$129.71 to \$130.71, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote to this Form 4.

5. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$130.80 to \$131.76, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote to this Form 4.

6. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$131.84 to \$132.75, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote to this Form 4.

7. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$133.32 to \$134.21, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote to this Form 4.

8. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$134.23 to \$134.21, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote to this Form 4.

9. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$135.28 to \$136.28, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote to this Form 4.

10. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$136.29 to \$137.20, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote to this Form 4.

11. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$137.31 to \$137.82, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote to this Form 4.

12. The price reported in Column 4 is a weighted average price. These shares were sold in multiple transactions at prices ranging from \$138.36 to \$138.50, inclusive. The reporting person undertakes to provide to the issuer, any security holder of the issuer, or the staff of the Securities and Exchange Commission, upon request, full information regarding the number of shares sold at each separate price within the range set forth in this footnote to this Form 4.

13. This does not reflect shares directly held by the reporting person's spouse, who is independently a reporting person of the issuer.

14. Each LLC Unit, together with a share of Class B common stock, may be converted by the holder into one share of Class A common stock at any time. The LLC Units do not expire.

Remarks:

/s/ P. Ryan Langston, as 03/01/2021 Attorney-in-Fact for Mark Evan

** Signature of Reporting Person Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

* If the form is filed by more than one reporting person, see Instruction 4 (b)(v).

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.